

Picking flowers: Hands-on FLEUR

Density Functional Theory and Electronic Structure Methods

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10 laws of picking wild flowers which, if broken, could land you a £5,000 fine



From daffodils to bluebells, it can often be tempting to pick them, but Brits could face a hefty fine or even imprisonment if they are picked from forbidden areas this spring, so it's important to know the rules...

When it comes to picking flowers, the law falls under two categories:

- *Wildlife and Countryside Act* of 1981
- *Theft Act* of 1968

- ① Get to know the laws and the restrictions they impose

How do we „calculate a material“?



NaCl (table salt)

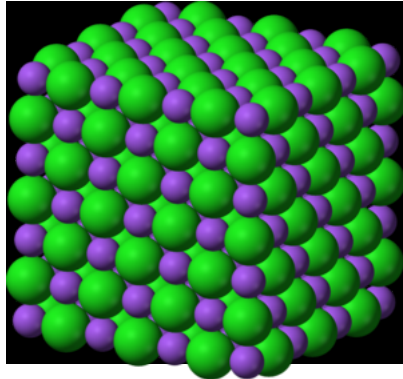
—————> Calculate the properties (e.g. lattice parameter, bulk modulus, phonons, electronic bands, magnetic properties etc.) **from first principles**



WIKIPEDIA
The Free Encyclopedia

„In physics and other sciences, theoretical work is said to be **from first principles, or *ab-initio***, if it starts directly at the level of established science and **does not make assumptions such as empirical model and parameter fitting.**“

How do we „calculate a material“?

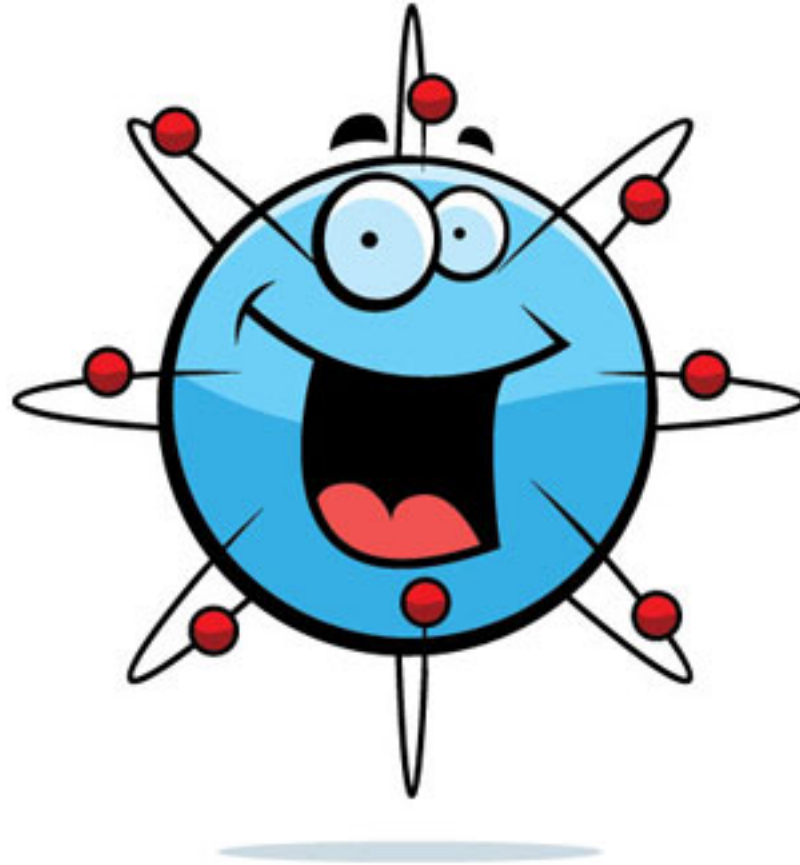


Bunch of nuclei and electrons:
Use **Quantum Mechanics!**

$$H\Psi = E\Psi$$

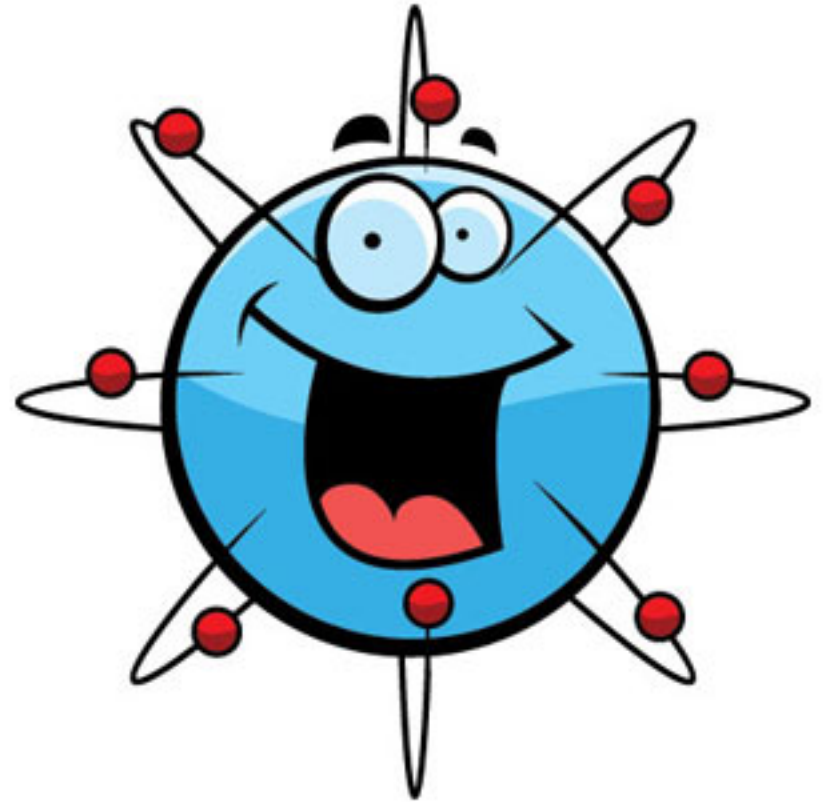
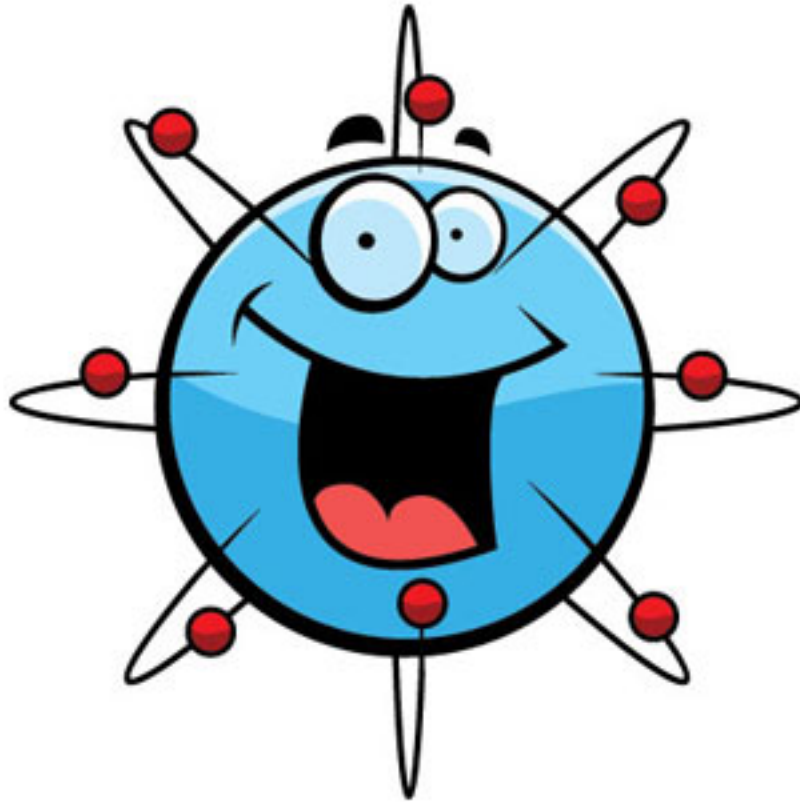
$$H = \sum_{i=1}^N \left(-\frac{\hbar^2}{2m} \nabla_i^2 - \sum_k^{N_n} \frac{Z_k e^2}{|\mathbf{r}_i - \mathbf{R}_k|} \right) + \frac{1}{2} \sum_{i=1}^N \sum_{j=1}^{N'} \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$$
$$+ \sum_{k=1}^{N_n} -\frac{\hbar^2}{2m} \nabla_k^2 + \frac{1}{2} \sum_{k=1}^{N_n} \sum_{m=1}^{N_n'} \frac{Z_k Z_m e^2}{|\mathbf{R}_k - \mathbf{R}_m|}$$

$$\Psi = \Psi(\mathbf{r}_1, \dots, \mathbf{r}_N, \mathbf{R}_1, \dots, \mathbf{R}_{N_n})$$

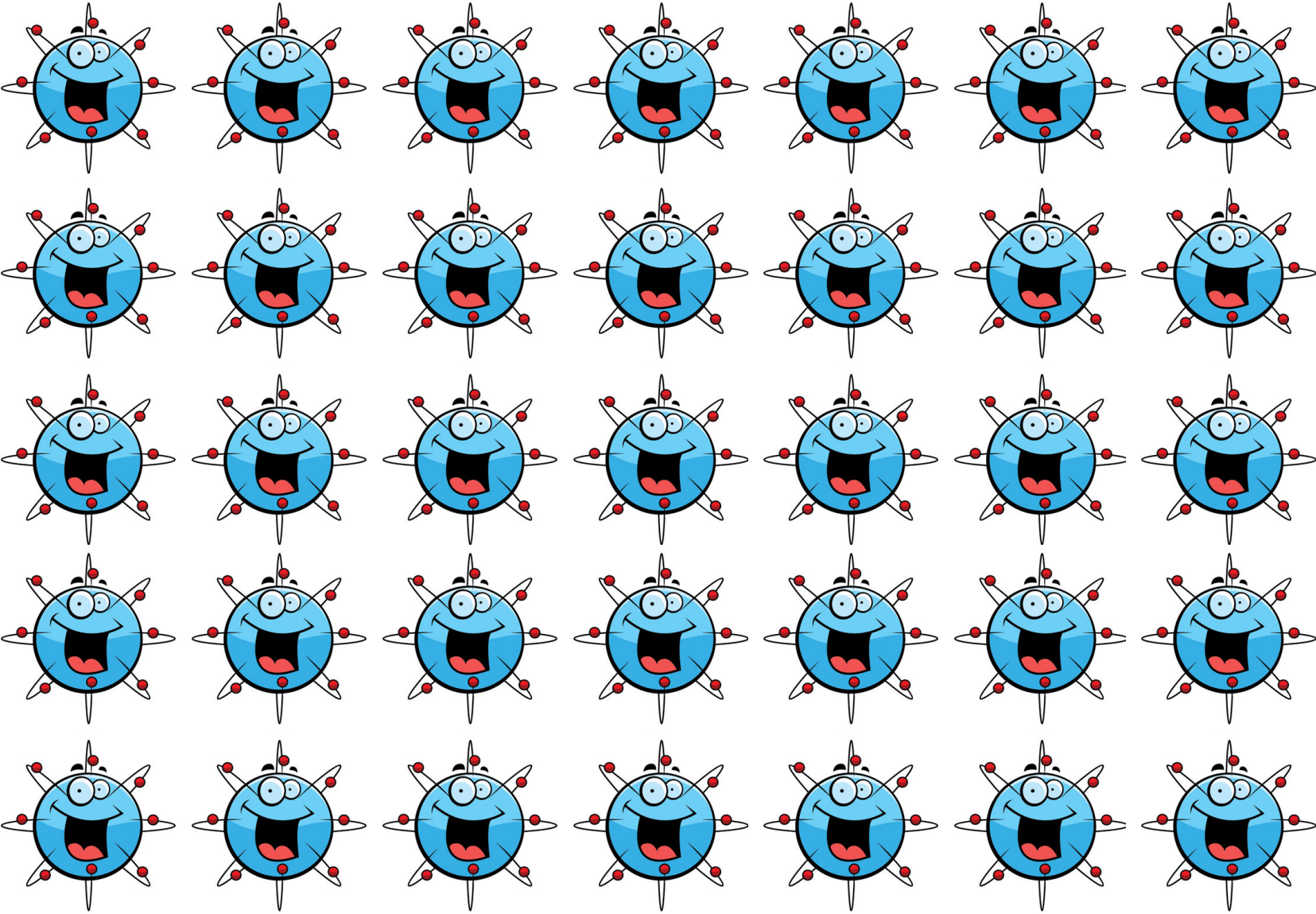


May be solvable

Many-body problem



Many-body problem



P. A. M. Dirac, Proc. Camb. Phil. Soc. **26**, 376 (1930)

Quantum Mechanics of Many-Electron Systems.

By P. A. M. DIRAC, St. John's College, Cambridge.

(Communicated by R. H. Fowler, F.R.S.—Received March 12, 1929.)

§ 1. *Introduction.*

The general theory of quantum mechanics is now almost complete, the imperfections that still remain being in connection with the exact fitting in of the theory with relativity ideas. These give rise to difficulties only when high-speed particles are involved, and are therefore of no importance in the consideration of atomic and molecular structure and ordinary chemical reactions, in which it is, indeed, usually sufficiently accurate if one neglects relativity variation of mass with velocity and assumes only Coulomb forces between the various electrons and atomic nuclei. The underlying physical laws necessary for the mathematical theory of a large part of physics and the whole of chemistry are thus completely known, and the difficulty is only that the exact application of these laws leads to equations much too complicated to be soluble. It therefore becomes desirable that approximate practical methods of applying quantum mechanics should be developed, which can lead to an explanation of the main features of complex atomic systems without too much computation.



Step 1: Born-Oppenheimer approximation

Adiabatic approximation: nuclei are heavy and move much slower than the electrons, so the electronic cloud has sufficient time to relax to its ground state in any instantaneous configuration of the nuclei.

Electronic Schrödinger Equation: $H\Psi = E\Psi$

$$H = \sum_{i=1}^N \left(-\frac{\hbar^2}{2m} \nabla_i^2 - \sum_k^{N_n} \frac{Z_k e^2}{|\mathbf{r}_i - \mathbf{R}_k^0|} \right) + \frac{1}{2} \sum_{i=1}^N \sum_{j=1}^{N'} \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$$

~~$$+ \sum_{k=1}^{N_n} \left(-\frac{\hbar^2}{2m} \nabla_k^2 + \frac{1}{2} \sum_{m=1}^{N_n'} \frac{Z_k Z_m e^2}{|\mathbf{R}_k - \mathbf{R}_m|} \right)$$~~

$$\Psi = \Psi(\mathbf{r}_1, \dots, \mathbf{r}_N, \mathbf{R}_1^0, \dots, \mathbf{R}_{N_n}^0)$$

How much storage do we need?

Let's see how much disc space we need to store a wavefunction.

Take an atom, e.g. N with 7 electrons; store 10 values per coordinate

How much is 2×10^6 t?





Electronic Schrödinger Equation: $H\Psi = E\Psi$

$$\begin{aligned}
 H = & \sum_{i=1}^N \left(-\frac{\hbar^2}{2m} \nabla_i^2 - \sum_k^{N_n} \frac{Z_k e^2}{|\mathbf{r}_i - \mathbf{R}_k|} \right) + \frac{1}{2} \sum_{i=1}^N \sum_{j=1}^N \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|} \\
 & + \sum_{k=1}^{N_n} \left(-\frac{\hbar^2}{2m} \nabla_k^2 + \frac{1}{2} \sum_{m=1}^{N_n} \frac{Z_k Z_m e^2}{|\mathbf{R}_k - \mathbf{R}_m|} \right)
 \end{aligned}$$

$h(\mathbf{r}_i)$



assume independent electrons

$$\longrightarrow H = \sum_{i=1}^N h(\mathbf{r}_i)$$

$$H = \sum_{i=1}^N h(\mathbf{r}_i)$$

$$\Psi(\mathbf{r}_1\sigma_1, \dots, \mathbf{r}_N\sigma_N) = \frac{1}{\sqrt{N!}} \det[\psi_1(\mathbf{r}_1\sigma_1)\psi_1(\mathbf{r}_2\sigma_2)\dots\psi_N(\mathbf{r}_N\sigma_N)]$$

Slater determinant


$$E = \langle \Psi | H | \Psi \rangle = \sum_{i=1}^N \epsilon_i = \sum_{i=1}^N \langle \psi_i | h(\mathbf{r}_i) | \psi_i \rangle$$


To calculate an observable we only need single particle orbitals!

Let's see how much disc space we now need to store a wavefunction.

N with 7 electrons; store 10 values per coordinate

- 7 electrons \longrightarrow **maximally 7 orbitals** ψ_1, \dots, ψ_7
- Each orbital depends on 3 variables \longrightarrow $\psi_j = \psi_j(x, y, z)$
- 10 entries per coordinate \longrightarrow **10^3 entries**
- in total, for all orbitals \longrightarrow **7×10^3 entries**
- \longrightarrow **7 kB of data**

The coordinates of an electron are independent of the coordinates of all other electrons, because the particles do not interact!

In reality, however, the electrons do interact, so...



Maybe we could find a way to map the interacting Hamiltonian

$$H = \sum_{i=1}^N \left(-\frac{\hbar^2}{2m} \nabla_i^2 - \sum_k^{N_n} \frac{Z_k e^2}{|\mathbf{r}_i - \mathbf{R}_k|} \right) + \frac{1}{2} \sum_{i=1}^N \sum_{j=1}^{N'} \frac{e^2}{|\mathbf{r}_i - \mathbf{r}_j|}$$

onto a non-interacting one, with an **effective potential which includes the interaction?**

$$H = \sum_{i=1}^N h_{eff}(i) = \sum_{i=1}^N \left(-\frac{\hbar^2}{2m} \nabla_i^2 + V_{eff}(i) \right)$$



Mean field approximations:

- Hartree-Fock
- Density Functional Theory (DFT)

D. R. Hartree, Proc. Camb. Phil. Soc. **24**, 89, 111 (1928)

Dr Hartree, The wave mechanics of an atom, etc. 89

The Wave Mechanics of an Atom with a Non-Coulomb Central Field. Part I. Theory and Methods. By D. R. HARTREE, Ph.D., St John's College.

[Received 19 November, read 21 November, 1927.]



Division of electrons into “core” and valence

The potential consists of the “external” potential due to the ions and an approximation to the true electronic one: **each electron sees the others as a smooth distribution of negative charge with charge density ρ**

$$\rho(\mathbf{r}) = -e \sum |\psi_i(\mathbf{r})|^2$$

$$U_{el}(\mathbf{r}) = e^2 \sum_j \int d\mathbf{r}' |\psi_j(\mathbf{r}')|^2 \frac{1}{|\mathbf{r}_i - \mathbf{r}'|} \quad U_{ext}(\mathbf{r}) = -Ze^2 \sum_{\mathbf{R}} \frac{1}{|\mathbf{r}_i - \mathbf{R}|}$$

D. R. Hartree, Proc. Camb. Phil. Soc. **24**, 89, 111 (1928)

Dr Hartree, The wave mechanics of an atom, etc. 89

The Wave Mechanics of an Atom with a Non-Coulomb Central Field. Part I. Theory and Methods. By D. R. HARTREE, Ph.D., St John's College.

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Hartree equations (one for each occupied one-electron level):

$$-\frac{\hbar^2}{2m} \nabla_i^2 \psi_i(\mathbf{r}) + U_{ext}(\mathbf{r}) \psi_i(\mathbf{r}) + \sum_j \int d\mathbf{r}' |\psi_j(\mathbf{r}')|^2 \frac{e^2}{|\mathbf{r}_i - \mathbf{r}'|} \psi_i(\mathbf{r}) = \varepsilon_i \psi_i(\mathbf{r})$$

Solved **self-consistently**: for a trial electronic potential determine the one-electron wavefunctions then use them to construct the new potential and iterate further.

Even though approximate, already quite complex and difficult to solve!



V. Fock, Z. Physik **61**, 126 (1930)



J. C. Slater, Phys. Rev. **35**, 210 (1930)

Hartree equations can be derived from the trial function:

$\Psi(\mathbf{r}_1 s_1, \mathbf{r}_2 s_2, \dots, \mathbf{r}_N s_N) = \psi_1(\mathbf{r}_1 s_1) \psi_2(\mathbf{r}_2 s_2) \dots \psi_N(\mathbf{r}_N s_N)$, which is not

antisymmetric, as required by the Pauli principle. By using a **Slater determinant** instead, one arrives to **Hartree-Fock equations** that also contain an exchange term:

$$-\frac{\hbar^2}{2m} \nabla_i^2 \psi_i(\mathbf{r}) + U_{ext}(\mathbf{r}) \psi_i(\mathbf{r}) + U_{el}(\mathbf{r}) \psi_i(\mathbf{r}) - \sum_j \int d\mathbf{r}' \frac{e^2}{|\mathbf{r}_i - \mathbf{r}'|} \psi_j^*(\mathbf{r}') \psi_i(\mathbf{r}') \psi_j(\mathbf{r}) \delta_{s_i s_j} = \varepsilon_i \psi_i(\mathbf{r})$$

Wave-function based

⊙ $\Psi(\mathbf{r}_1 s_1, \mathbf{r}_2 s_2, \dots, \mathbf{r}_N s_N)$

⊙ Optimize
$$E = \frac{\langle \Psi | \mathcal{H} | \Psi \rangle}{\langle \Psi | \Psi \rangle}$$

Many complicated wave functions.

Can we try to extract information about physical systems with an integrated quantity instead?

Wave-function based

⊙ $\Psi(\mathbf{r}_1 s_1, \mathbf{r}_2 s_2, \dots, \mathbf{r}_N s_N)$

⊙ Optimize $E = \frac{\langle \Psi | \mathcal{H} | \Psi \rangle}{\langle \Psi | \Psi \rangle}$

Density based


⊙ Use $n(\mathbf{r}) = N \sum_{s_1} \dots \sum_{s_N} \int d\mathbf{r}_2 \dots \int d\mathbf{r}_N \Psi^*(\mathbf{r} s_1, \mathbf{r}_2 s_2, \dots, \mathbf{r}_N s_N) \Psi(\mathbf{r} s_1, \mathbf{r}_2 s_2, \dots, \mathbf{r}_N s_N)$

⊙ Minimize functional $E[n(\mathbf{r})]$, provided that it exists and is (to some extent) known

P. Hohenberg, W. Kohn, *Phys. Rev.* 136, B864 (1964)

Theorem 1: For a given external potential V , the ground-state properties of a system are uniquely determined by the electron density alone, i.e. they are functionals of the density.

Theorem 2: The exact ground-state density minimizes the energy functional $E[n(\mathbf{r})]$

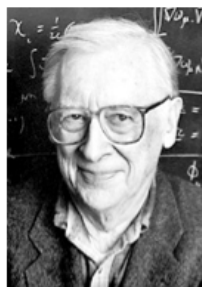
 The Nobel Prize in Chemistry 1998
Walter Kohn, John Pople

The Nobel Prize in Chemistry 1998



Walter Kohn

Prize share: 1/2



John A. Pople

Prize share: 1/2

The Nobel Prize in Chemistry 1998 was divided equally between Walter Kohn "for his development of the density-functional theory" and John A. Pople "for his development of computational methods in quantum chemistry".

W. Kohn, L. J. Sham, *Phys. Rev.* **140**, A1133 (1965)

How do we now use DFT to calculate materials' properties?

⊙ Start from a **non-interacting electron gas** in a potential $v_s \rightarrow$ one-electron Schrödinger equation:

$$\left(-\frac{\nabla^2}{2} + v_s \right) \varphi_i = \epsilon_i \varphi_i$$

⊙ For N electron states, construct the *one-particle electron density* from the lowest-lying *one-particle states*:

$$n_{op}(\mathbf{r}) = \sum_{i=1}^{N/2} 2 |\varphi_i(\mathbf{r})|^2$$

⊙ For small variations around the ground-state density E is stationary:

$$0 = \delta E_{op} = E_{op}[n_{op}(\mathbf{r}) + \delta n_{op}(\mathbf{r})] - E_{op}[n_{op}(\mathbf{r})]$$

$$0 = \delta T_{op}[n_{op}] + \int \delta n(\mathbf{r}) v_s(\mathbf{r}) d\mathbf{r} \quad \text{yields the exact ground state density corresponding to } v_s$$

Kohn-Sham Equations

Now to an **interacting system**:

⊙ Now assume that we can find *an effective potential* v_s so that n_s where $n(\mathbf{r})$ is the *ground state density of an interacting system*.

$$E[n(\mathbf{r})] = T_{op}[n(\mathbf{r})] + \int n(\mathbf{r})v_{ext}(\mathbf{r}) d\mathbf{r} + \underbrace{\frac{e^2}{2} \int \int \frac{n(\mathbf{r}) \cdot n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r} d\mathbf{r}'}_{\text{Hartree term}} + \underbrace{E_{xc}[n(\mathbf{r})]}_{\text{Exchange and correlation; contains the exchange interactions and the corrections to the kinetic energy}}$$

kinetic energy of the non-interacting system



Physics professors shouldn't teach geometry.

Approximate!

⊙ From $0 = \delta T_{op}[n] + \int d\mathbf{r} \delta n(\mathbf{r}) \left[v_{ext}(\mathbf{r}) + \int e^2 \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \frac{\delta E_{xc}[n(\mathbf{r})]}{\delta n(\mathbf{r})} \right]$

$\rightarrow v_s(\mathbf{r}) = v_{ext}(\mathbf{r}) + \int e^2 \frac{n(\mathbf{r}')}{|\mathbf{r} - \mathbf{r}'|} d\mathbf{r}' + \frac{\delta E_{xc}[n(\mathbf{r})]}{\delta n(\mathbf{r})}$

$\rightarrow \left(-\frac{\nabla^2}{2} + v_s \right) \varphi_i = \epsilon_i \varphi_i$ *Equations solved self-consistently:* guess $v_s \rightarrow \varphi_i \rightarrow n$

Local Density Approximation (LDA)

W. Kohn, L. J. Sham, *Phys. Rev.* **140**, A1133 (1965)

⊙ Kohn-Sham equations transfer the problem of *finding the correct density* to *finding the correct exchange-correlation potential*.

⊙ The simplest approximation is LDA, which exploits the nearsightedness of the electronic matter:

$$E_{xc}^{LDA}[n(\mathbf{r})] = \int \varepsilon_{xc}^{hom}(n(\mathbf{r}))n(\mathbf{r})d\mathbf{r}$$

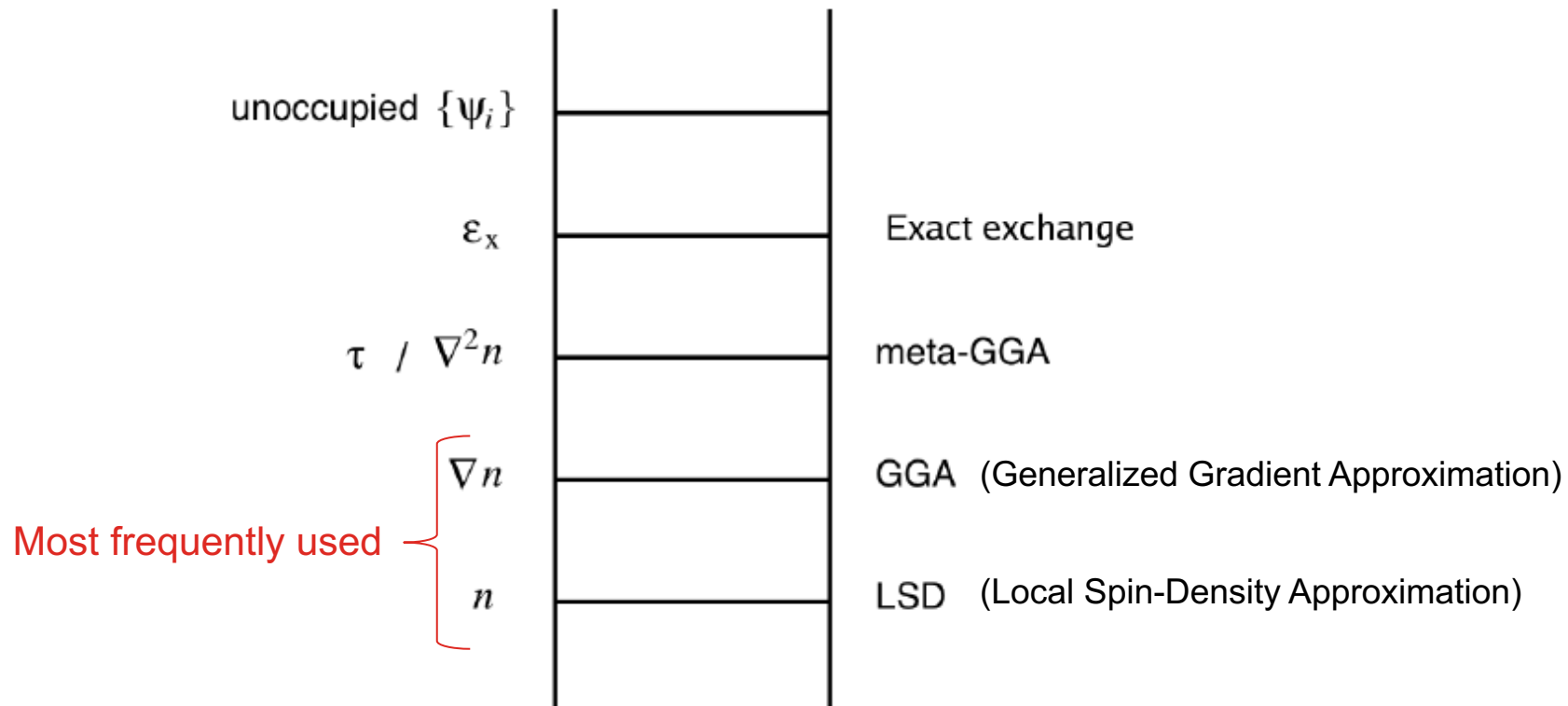
where $\varepsilon_{xc}^{hom}(n)$ is exchange and correlation energy per particle of a *homogeneous* electron gas (HEG).

Kohn & Sham: ***“We do not expect an accurate description of chemical binding”***

“Jacob’s ladder” of approximations

(according to J. P. Perdew)

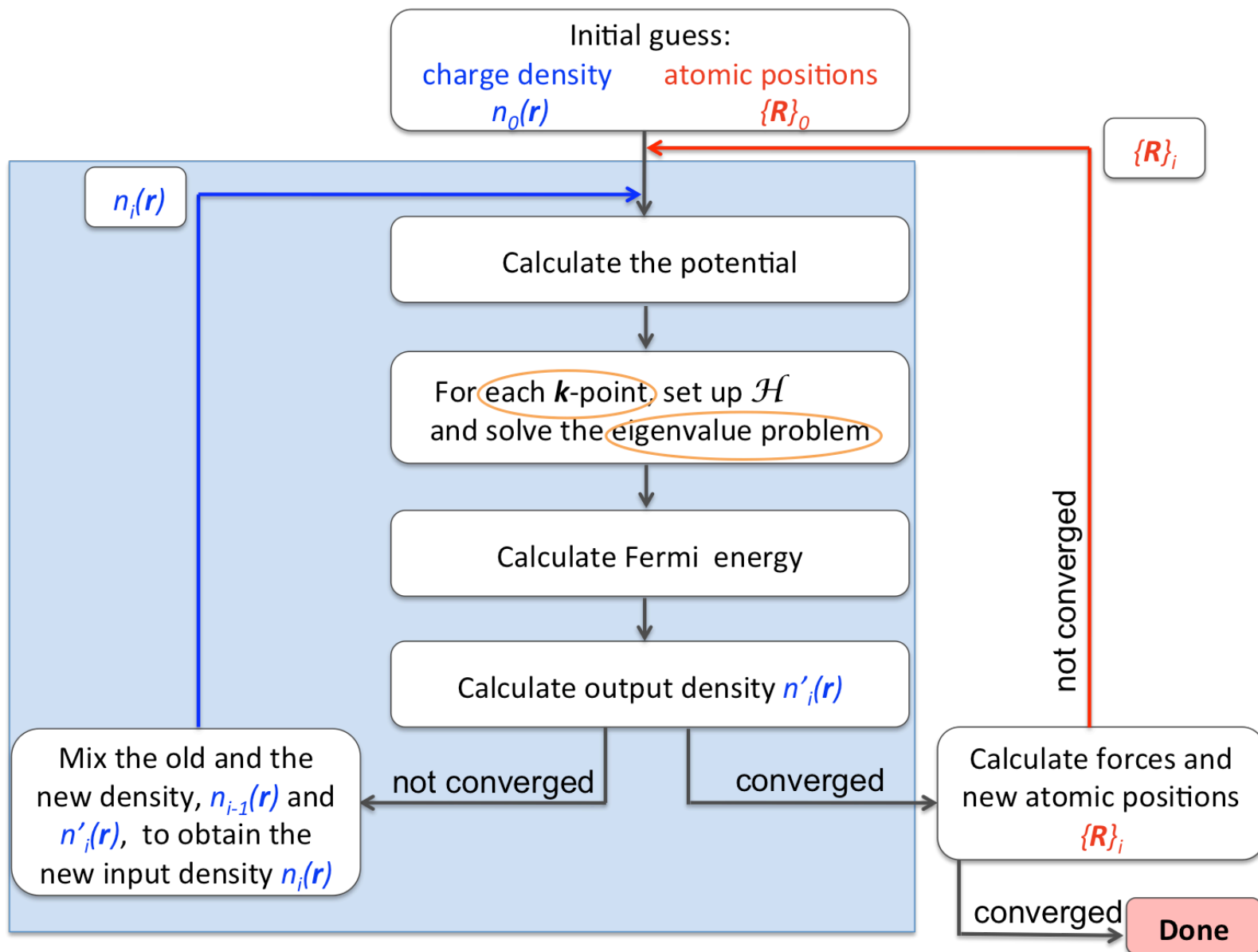
Improve LSD by incorporating exact constraints successively



“And he dreamed, and behold a ladder set up on the earth, and the top of it reached to heaven: and behold the angels of God ascending and descending on it.” Genesis 28:12 (King James Version).

More on Thursday: lecture by Matthias Redies!

- ⊙ Kohn-Sham orbitals have, strictly speaking, **no** physical meaning, except that $n(\vec{r}) = \sum_{i=1}^N |\varphi_i(\vec{r})|^2$ is the exact density of the interacting system. In particular, $\det(\varphi_i(\vec{r}))$ is not to be taken as an approximation to the many-body wavefunction of the system.
- ⊙ Likewise, the orbital energies ϵ_i have in general **no** physical meaning,



How to tell the computer what to do?

$$\left(-\frac{\nabla^2}{2} + v_s\right) \varphi_i = \epsilon_i \varphi_i$$



Turn Kohn-Sham equations into matrix equations!

Two options:

- ⊙ Discrete real space grid
- ⊙ Expansion in a basis set

Boundary conditions:

- For finite systems K-S orbitals are zero on the boundary
- For periodic systems: $\varphi_k(x_0) = \varphi_k(x_n)$, $\varphi_k(x_1) = \varphi_k(x_{n+1})$

Integrals are calculated as finite sums:

$$\int_{x_1}^{x_n} dx f(x) = h \sum_{j=1}^n f(x_j)$$

Of course, one introduces an **error by discretizing the functions, which depends on the spacing of the grid points.**

Choose some functions $\phi_\mu(\vec{r})$ and expand the wavefunction:

$$\varphi(\vec{r}) = \sum_{\mu}^{N_b} c_{\mu} \phi_{\mu}(\vec{r})$$

→ The differential equation turns into a linear algebra equation

$$\sum_{\nu} H_{\mu\nu} c_{i\nu} = \epsilon_i \sum_{\nu} S_{\mu\nu} c_{i\nu}$$

In short:

$$Hc_i = \epsilon_i Sc_i$$

- Hamiltonian contains the matrix elements of the kinetic energy and of the potential:

$$\begin{aligned} H_{\nu\mu} &= \int_V d^3r \phi_\nu^*(\vec{r}) \left(-\frac{1}{2} \nabla^2 + v_S(\vec{r}) \right) \phi_\mu(\vec{r}) \\ &= T_{\nu\mu} + V_{\nu\mu} \end{aligned}$$

- The Overlap matrix:

$$S_{\nu\mu} = \int_V d^3r \phi_\nu^*(\vec{r}) \phi_\mu(\vec{r})$$

- Overlap is diagonal for orthogonal basis functions

The choice of the basis depends on two criteria:

1) Boundary conditions

- For finite systems $\phi_i(\vec{r}) \xrightarrow{r \rightarrow \infty} 0$
- For periodic systems: plane waves

2) Generality vs. suitability to the specific problem

- The closer the basis functions are to the actual K-S orbitals, the fewer basis functions one needs:

If we manage to guess a basis function that equals the wavefunction, a single expansion coefficient would be enough

$$\varphi(\vec{r}) = \sum_i^1 c_i \phi_{i=1}(\vec{r})$$

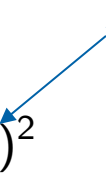
- One cannot, however, choose a different basis set for each problem!

Construct basis functions that are centered at the atoms

- Gaussian basis functions

$$\phi(\vec{r}) = \frac{1}{N} e^{-\alpha(\vec{r}-\vec{R})^2}$$

Atomic position



(usually linear combinations of such Gaussians are used).

- Slater type

These functions decay exponentially for large distance and have the correct behavior close to the nuclei

$$\phi(r) = \frac{1}{N} |(r - R)|^{n-1} e^{-\eta(r-R)}$$

(n is an integer -> principle quantum number)

These functions also need an angular part → usually spherical harmonics

$$\phi_{\vec{g}}(\vec{r}) = \frac{1}{N} e^{i\vec{g}\vec{r}}$$

Advantages:

- Orthonormal basis set
- Single convergence parameter: number of plane waves
- Plane waves are momentum eigenfunctions \rightarrow the kinetic energy is diagonal

$$T_{\vec{g},\vec{g}'} = \frac{1}{2} |\vec{g}|^2 \delta(\vec{g} - \vec{g}')$$

- Plane waves easily fulfill the Bloch ansatz for periodic systems by taking

$$\vec{g} = \vec{k} + \vec{G}$$

$$\phi_{\vec{g}}(\vec{r}) = \frac{1}{N} e^{i\vec{g}\vec{r}}$$

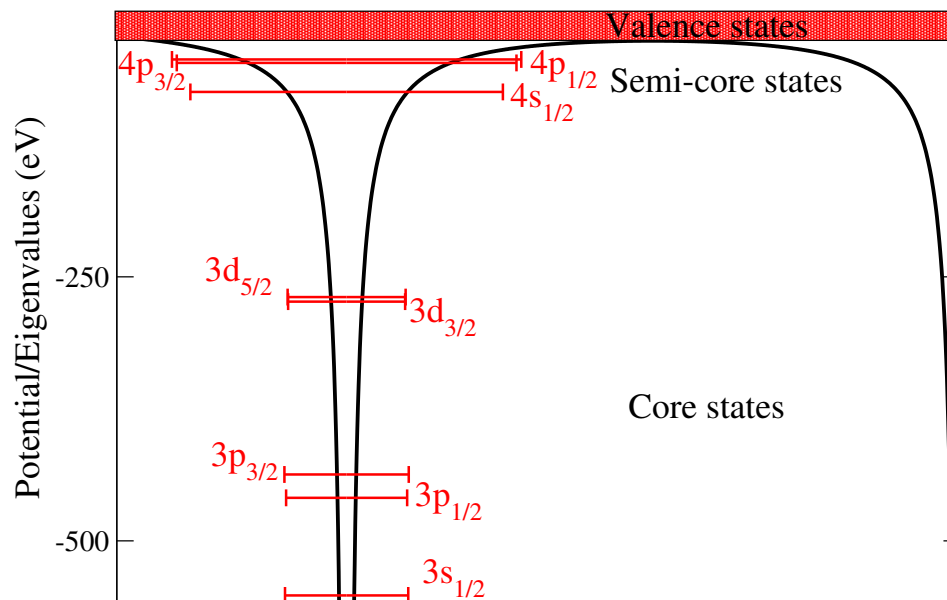
Advantages:

- Potential matrix elements are given by the Fourier transform of the potential

$$\begin{aligned} V_{\vec{g},\vec{g}'} &= \frac{1}{N^2} \int_V d^3r V(r) e^{i(\vec{g}' - \vec{g})\vec{r}} \\ &= V_{FT}(\vec{G}' - \vec{G}) \end{aligned}$$

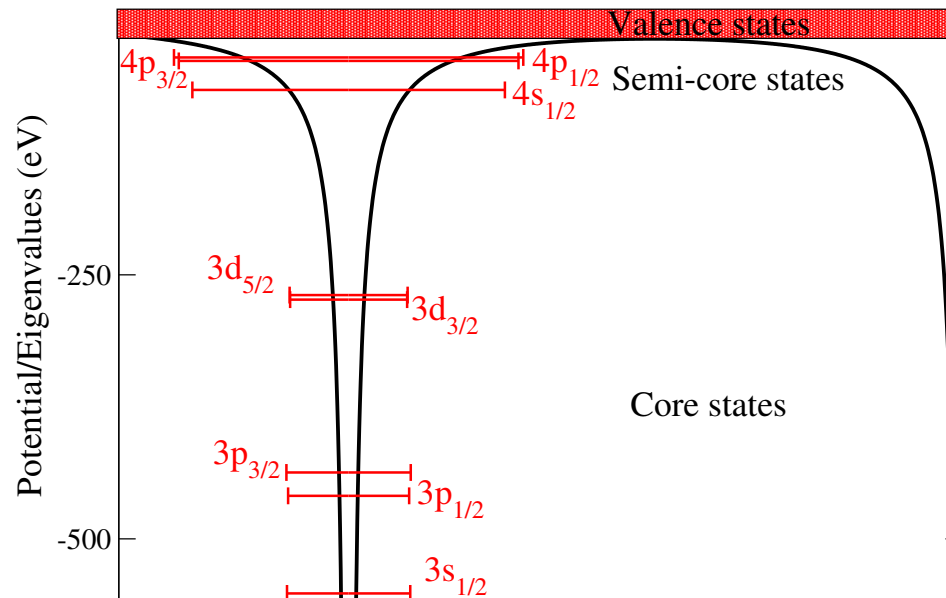
Two problems:

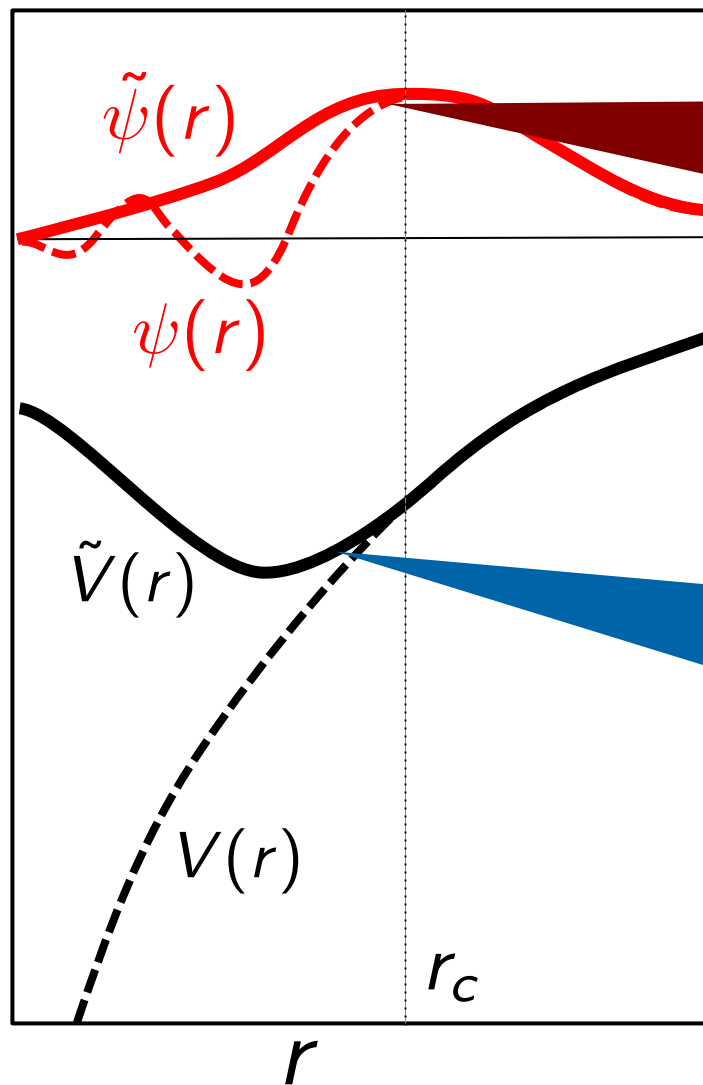
- The ionic potentials have an integrable pole at the position of the ions
→ Gaussian and Slater type orbitals we can solve the integral analytically, but for grids and plane waves we have a problem (infinitely many grid points / plane-waves needed to describe the pole)
- Core electrons are usually localized near the ion
→ Localized functions need finer grids / many plane waves, while at the same time core electrons are not essential for binding and general electronic behavior.



Two possibilities:

- Pseudopotentials
→ Modify the potential to make it easier to treat
- Augmented plane waves
→ Treat core and valence electrons differently → Gregor Michalicek's lecture





Replace AE wavefunction by pseudo-wavefunction

- smooth nodeless wavefunction
- same as AE outside some radius
- inside the core radius the nodeless wavefunction is meaningless

Remove the $1/r$ singularity

- “remove” core states
- remove numerical difficulties

Create a smooth potential

Partition space:

- **MT spheres**

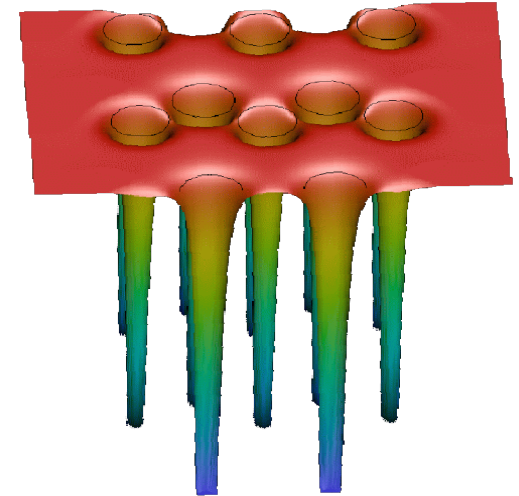
Potential is spherically symmetric

→ use the solutions of the radial part of the Schrödinger equation

- **Interstitial**

Potential is small

→ use plane waves



Stay tuned for more: lecture by Gregor Michalicek!

- **Many-body problems: difficult to solve, large memory needed for storing the wave function; approximations are needed**
- **Mean-field approaches: Hartree-Fock & DFT**
- **DFT: given an external potential, the ground-state density uniquely determines the ground-state properties and minimizes the energy functional.**
- **Kohn-Sham equations map a system of interacting particles onto a system of non-interacting particles with the same density.**
- **Approximations to the exchange-correlation functional are necessary**
- **One seeks a self-consistent solution to the K-S equations**
- **Various computational methods exist, the right choice depending on several factors, such as e.g. the type of the system to be treated and whether one is interested in the core electrons or not**



Thank you for your attention!